

# Enterprise Learning Alliance

## BTEC Policies, Procedures and Practices



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This policy should be considered together with:

ELA Examination Conflict of Interests Policy  
ELA Examination Contingency Plan  
ELA Examination Internal Assessments Appeals Procedures  
ELA Examination Malpractice Policy  
ELA Non-Examined Assessments Policy  
ELA Examination Policy  
ELA Examination Recognition of Prior Learning  
ELA Examination Whistleblowing Policy  
ELA Examination Word Processor Policy

## Scope

The following BTEC policies, procedures and practices document covers the aims and responsibilities of Enterprise Learning Alliance (ELA) as a registered centre for BTEC provision of study from Entry Level to Level 2, in a range of subjects offered across the KS4 curriculum.

## Roles and Responsibilities

**Edexcel:** the awarding body.

**Head of Centre:** formally responsible for ensuring that the centre acts in accordance with Edexcel's terms and conditions of approval.

**Senior Management:** provide support in dealing with appeals, malpractice of learners and staff as well as liaising with Edexcel as necessary.

**Examinations Officer:** responsible for the correct administration of learners with Edexcel and ensuring that Lead Internal Verifiers have access to Edexcel online so that they can register on to the OSCA system. The Examinations Officer will also be involved in learner malpractice procedures.

**Quality Nominee:** acts as the main contact between Edexcel and the centre for information related to quality assurance, they are responsible for ensuring the effective management of the BTEC programmes and actively encourage and promote good practice.

**Lead Internal Verifier:** the person designated by a centre to act as the point of sign-off for the assessment and internal verification of programmes in a Principal Subject Area.

**Programme Leader/Manager:** the person designated by a centre to take overall responsibility for the effective delivery and assessment of BTECs and other Edexcel qualifications. They may also be the Lead Internal Verifier for a Principle Subject Area.

**Internal Verifiers:** teachers that internally verify the assessment of BTEC programmes.

**Assessors:** teachers that deliver and assess BTEC programmes.

**Learners:** those individuals who are registered onto BTEC programmes.

## Registration and Certification

It is important that the centre registers all learners with Edexcel at the beginning of their programme of study to enable learners to receive appropriate certification for their BTEC course or the units that they achieve.

### **Aims:**

- To register individual learners to the correct programme within agreed timescales.
- To claim valid learner certificates within agreed timescales.
- To construct a secure, accurate and accessible audit trail to ensure that individual learner registration and certification claims can be tracked to the certificate which is issued for each learner.

### **In order to do this, the Examinations Officer will:**

- Liaise with Subject Leads on which qualifications they are offering and apply for programme approval if appropriate.
- Register each learner within the awarding body requirements.
- Send Subject Leads a list of registered learners for checking.
- Make each learner aware of their registration status.
- Inform the awarding body of withdrawals, transfers or changes to learner details.
- Ensure that certificate claims are timely and based solely on internally verified assessment records.
- Audit certificate claims made to the awarding body.
- Audit the certificates received from the awarding body to ensure accuracy and completeness.
- Keep all records safely and securely for three years post certification.

## Assessment

The centre is responsible for ensuring that assessment of BTEC programmes is accurate and in accordance with the national standards required to allow valid certification claims to be made.

### **Aims:**

- To ensure that assessment methodology is valid, reliable and does not disadvantage or advantage any group of learners or individuals.
- To ensure that the assessment procedure is open, fair and free from bias whilst rigorously adhering to national standards.
- To ensure that there is accurate and detailed recording of assessment decisions.

### **In order to do this, the Programme Leader will:**

- Ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment.
- Assess learner's evidence using only the published assessment and grading criteria.
- Ensure that assessment decisions are impartial, valid and reliable.
- Provide constructive formative and summative feedback that enables the learner to meet the assessment criteria and make progress.
- Assess accepted 'late' work against all assessment criteria.
- Develop assessment procedures that will minimise the opportunity for malpractice.
- Maintain accurate and detailed records of assessment decisions.
- Maintain a robust and rigorous internal verification procedure.
- Annually provide samples for Standards Verification as required by the awarding body.
- Monitor Standards Verification reports and undertake any remedial action required.
- Share good assessment practice between all BTEC programme teams.
- Ensure that BTEC assessment methodology and the roles of the assessor/internal verifier are understood by all BTEC staff.
- Provide resources to ensure that assessment can be performed accurately and appropriately.
- Follow the new procedures, sending off our assessment plans and getting an SV and sending work as and when requested.

### **Accreditation and/or Recognition of Prior Learning (RPL)**

Wherever possible the college will endeavour to recognise any prior learning from any of our learners to avoid repetition of prior learning and assessment.

#### **Aims:**

- To enable learners to be given credit for prior learning that may have been completed in previous establishments.
- To ensure a system is in place that demonstrates successful attainment of prior learning outcomes appropriate to the new course, which forms a route for continuous learning.

### **In order to do this, the Programme Leader will:**

- Determine through the learner whether any courses that have been undertaken at their prior establishment could be considered or recognised for accreditation.
- Request information via the Examinations officer from the prior establishment and confirm any certifications with the relevant examinations board.
- Consider, in certain circumstances, whether a learner can demonstrate the assessment requirements for a unit through knowledge, understanding or skills they already possess.

## Submission of assessments

Only **one submission** is allowed for each summative assignment. The assessor must formally record the summative assessment result and confirm the achievement of specific assessment criteria on the student's feedback form and Mark book with 15 days of assessment submission. Assessment criteria in each unit are assessed once only.

### Each student must submit:

- A summative assignment for assessment which consists of evidence towards the targeted assessment criteria
- a **signed-and-dated declaration of authenticity** with each assignment which confirms the student has produced the evidence themselves.

### The assessor must:

- complete a **confirmation** that the evidence they have assessed is authentic and is the student's own work.

### The assessor must not:

- provide feedback or guidance on how to improve the evidence to achieve higher grades.

### The assessor should:

- provide tailored feedback that is specific to the individual student based on the assignment evidence the student has submitted for summative assessment
- identify criteria which a student has not achieved or could have developed to improve the grade achieved – but **NOT HOW** they can achieve or develop their work further to meet the criteria as this would invalidate any resubmission opportunity authorised by the Lead Internal Verifier

## Extension of deadline

If there are exceptional circumstances, (such as illness, bereavement, serious health problem of close family member, serious accident, caring responsibilities and or victim of crime etc.) supported by appropriate evidence, a LIV may, in consultation with appropriate staff, agree to extend a deadline. All extensions must be applied for in writing 48 hours prior to the submission date

## Opportunities for resubmission of evidence

Because every assignment contributes towards the final qualification grade, the new rules framework allows for one resubmission of evidence for each assignment. Because every assignment contributes to the final qualification grade, it may be appropriate for the Lead Internal Verifier to authorise **one opportunity for a student to resubmit evidence** to meet assessment

criteria targeted by an assignment. The Lead Internal Verifier can only authorise a resubmission if all of the following conditions are met:

- the student has **met initial deadlines** set in the assignment, or has met an agreed deadline extension
- the tutor judges that the **student will be able to provide improved evidence without further guidance**
- the **assessor has authenticated the evidence** submitted for assessment and the evidence is **accompanied by a signed-and-dated declaration of authenticity** by the student.

## Procedures for resubmission

If the Lead Internal Verifier does authorise a resubmission, it **must** be:

- **recorded on the assessment form**  
**given a deadline** for resubmission within 10 working days of the student receiving the results of the initial summative assessment. 10 working days must be within term time, in the same academic year as the original submission. If you are studying part time, this is the equivalent of 10 days of “study time” to ensure fairness for all students.
- undertaken by the student with **no further guidance or directed learning**.

If a student has not met the conditions listed above the Lead Internal Verifier **must not** authorise a resubmission. This must be recorded.

## Standards Verification

For BTEC Standards Verification you are required to include evidence of resubmitted work in sampling, including:

- **evidence of Lead Internal Verifier authorisation**, signed and dated, with the resubmission deadline clearly stated
- the initial assessment record
- the **resubmitted student evidence**, accompanied by a **signed-and-dated declaration of authenticity** by the student
- the **resubmission assessment record**, detailing the additional student evidence submitted and showing any related changes to the assessment decisions
- confirmation from the assessor that the **resubmitted evidence is authentic** and is the student’s own work

## Conditions for retaking a new assignment

If a student has met **all** of the conditions listed above in **Opportunities for resubmission**, but still not achieved the targeted pass criteria following resubmission of an assignment, the Lead Internal Verifier **may** authorise **one retake** opportunity to meet the required pass criteria. The Lead Internal Verifier must only authorise a retake in exceptional circumstances where they believe it is necessary, appropriate and fair to do so.

- The retake must be a new task or assignment targeted only to the pass criteria which were not achieved in the original assignment.
- The assessor must agree and record a clear deadline before the student starts a retake.
- The student and the assessor must sign declarations of authentication as they both did for the previous submissions.
- Standards Verifiers will require you to include evidence of any retakes in sampling.
- The assessor cannot award a merit or distinction grade for a retake.
- The student will not be allowed any further resubmissions or retakes.

## Monitoring retakes

It is important for your own quality monitoring to keep a record of the number of retakes required on any programme. This should provide you with useful data and flag up any potential concerns about, for example:

- appropriateness of recruitment
- levels of support
- levels of student achievement

## Internal Verification (IV)

Internal verification or standardisation is the process whereby our centre ensures it operates consistently and to national standards in interpreting and assessing each programme. Therefore it is vital that internal verification ensures consistency and accuracy across the whole centre.

### Aims:

- To ensure that Internal Verification (IV) is valid, reliable, consistent and accurate across all assessors and programmes.
- To ensure that IV is carried out on a regular basis.
- To ensure that the IV procedure is open, fair and free from bias.
- To ensure that there is accurate and detailed recording of IV decisions.



### **In order to do this, the Programme Leader will:**

- Verify all assignments, unless they are Pearson-approved and unedited, before they are given to the learners to ensure that they target the appropriate criteria and enable the learner to achieve them.
- Verify an appropriately structured sample of assessor work from all programmes to ensure that the centre programmes conform to national standards and external verification requirements.
- Plan an annual internal verification schedule, linked to assessment plans.
- Define, maintain, and support effective internal verification roles.
- Ensure that identified staff will maintain secure records of all internal verification activity.
- Brief and train staff of the requirements for current IV procedures.
- Promote internal verification as a developmental process between staff.
- Provide standardised IV documentation.
- Use the outcome of internal verification to enhance future assessment practice.

If the Lead IV for a programme leaves for any reason, the centre will conduct the following procedure for rapid replacement in order that the course can continue with minimal disruption to learners.

- The Quality Nominee (QN) will initially take on the role of Lead IV.
- Senior Management to have formative report.
- Roles and responsibilities will be re-distributed and new Lead IV will be appointed, with any training put in place.
- OSCA will be initiated.
- Assignments will be checked.
- Students work will be checked.
- Remedial action will be taken as necessary, for example assignments will be re-written or written for first time, action plans will be given to students so that work can be completed successfully.
- Summative report to Senior Management.

### **Malpractice**

Malpractice is defined as any action by learners or centre staff that has the potential to undermine the integrity and validity of BTEC qualifications.

**Please also refer to ELA Examinations Malpractice Policy**

### **Aims:**

- To identify and minimise the risk of malpractice by learners or centre staff.
- To respond to any incident of alleged malpractice effectively and openly.
- To record any investigation of malpractice.
- To impose appropriate penalties and/or sanctions on staff or learners where incidents (or attempted incidents) of malpractice are proven.
- To protect the integrity of this centre and BTEC qualifications

**In order to do this, the centre will:**

- Promote positive and honest practices.
- Avoid potential malpractice through learner and staff induction, where the policies would be outlined along with the penalties for attempted and actual incidences of malpractice. The learner handbook will be an integral part of the learner induction.
- Show learners how to acknowledge the sources of their work in bibliographies.
- Request that learners sign to say that work is their own.
- Ensure assessors use their integrity and professional judgements at all times when checking the validity of internally assessed learner work.
- Check the identity of learners before they undertake any externally assessed units and ensure they do not take prohibited material into an examination room.
- Use the IV process and Lead IV to check work on a regular basis.

In addition, the following points may also be utilised by staff to avoid learner malpractice;

- Plan the order of teaching and associated lessons to ensure that opportunities for collusion and collaboration are minimised.
- Change assignments, re-write or interchange, or revamp scenarios on a regular basis.
- Orally question learners at various times during the course to check understanding of concepts within their own work.
- Know individual learners' style, their interpretation and synthesis of sources.
- Utilise "Ranger" software to check ICT work.
- Utilise "google" tools to check texts are not plagiarised.
- Ensure that students work in supervised areas of the college where at all possible.
- Ensure that learners have their own personalised login and password.

**If learner malpractice is suspected, an investigation will be undertaken and will proceed through the following stages:**

1. The programme leader will interview the learner, who will be given the opportunity to rectify the problem openly and effectively within an agreed timeframe.
2. If the problem is not rectified effectively, the lead IV and quality nominee will be informed.
3. Consultation will take place with the learner, programme leader/lead IV and quality nominee and a letter will be sent home. The Examinations Officer will also be notified.
4. Following consultation, a final assessment decision will be made by the quality nominee, which will be recorded in the learners' work.
5. If the outcome is negative, the learner may be withdrawn from the programme with agreement from the Examinations Officer in consultation with the Head of Centre and parents/guardians.

Examples of malpractice by learners include, but are not limited to plagiarism, collusion (working collaboratively to submit individual learner work), copying (including the use of ICT to aid copying), cheating, deliberate destruction of another's work, fabrication of results or evidence, false declarations of authenticity or impersonation of another learner.

Depending on the seriousness of the malpractice, further steps may be taken as deemed necessary.

NB: If staff are unsure about learner malpractice, they are advised not to sign off any work that they feel is suspicious and refer the work to the Lead IV or another member of the team such as the Quality Nominee if they are Lead IV.

Where malpractice is proven, the centre will apply the following penalties/sanctions:

- The relevant assignment would be failed.
- The learner would be interviewed by the Quality Nominee and member of the senior leadership team with regards to their future on a BTEC course.

**If staff malpractice is suspected, an investigation will be undertaken and will proceed through the following stages:**

1. The programme leader (or Quality Nominee if the programme leader is implicated) will interview the staff member, who will be given the opportunity to rectify the problem openly and effectively.
2. A written record of the allegation and interview will be taken and made available to the Examinations Officer and the Quality Nominee.
3. Consultation will take place with the staff member, programme leader, curriculum director and Quality Nominee.
4. A decision will be made by the curriculum leader and Quality Nominee, which will be recorded by the Examinations Officer in agreement with the Head of Centre.
5. It may be deemed necessary to inform Edexcel, who may withdraw programme approval at the centre.

Examples of malpractice by staff include, but are not limited to improper assistance to learners, inventing or changing marks for internally assessed work, failure to keep learner's work secure, fraudulent claims for certificates, producing falsified witness statements for work that has not been carried out by the learner, allowing evidence that is not the learner's own to be included in their work, facilitating and allowing impersonation, misuse of special need assistance.

## Appeals

### Aims:

- To enable the learner to enquire, question or appeal against an assessment decision.
- To attempt to reach agreement between the learner and the assessor at the earliest opportunity.
- To standardise and record any appeal to ensure openness and fairness.
- To facilitate a learner's ultimate right of appeal to the awarding body, where appropriate.
- To protect the interests of all learners and the integrity of the qualification.

### In order to do this, the centre will:

- Inform the learner at induction, of the Appeals Policy and procedure.
- Record, track and validate any appeal.
- Forward the appeal to the awarding body when a learner considers that a decision continues to disadvantage her/him after the internal appeals process has been exhausted.

- Keep appeals records for inspection by the awarding body for a minimum of 18 months.
- Have a staged appeals procedure as follows:
  1. The learner registers their dissatisfaction with the assessor within 2 weeks of receiving the assignment mark.
  2. The assessor will provide additional feedback to the learner within 2 weeks of receiving their appeal.
  3. If the learner is still not satisfied with the assessor's decision, they should submit an appeal to the Lead IV within 2 weeks.
  4. The Lead IV will provide additional feedback, in consultation with the assessor, to the learner within 2 weeks.
  5. If the learner is not satisfied with the Lead IV's decision, the appeal will be elevated to the Quality Nominee, who will take the final decision on the assignment mark to be awarded.
- Take appropriate action to protect the interests of other learners and the integrity of the qualification, when the outcome of an appeal questions the validity of other results.
- Monitor appeals to inform quality improvement.